Additional copies of these guidelines are available at www.imls.gov



for Libraries and Museums



INSTITUTE

of MUSEUM

and LIBRARY

SERVICES

### Application Deadline:

For Libraries, February 1
For Museums, March 1
For Library and Museum
Collaborations, April 1



### NATIONAL LEADERSHIP GRANTS

CFDA No. 45.312

### Grant Application and Information

Fiscal Year 2000

What is IMLS?

The Institute of Museum and Library Services (IMLS), an independent agency within the Executive Branch, was established by Act of Congress in 1996 to improve museum, library and information services. Within IMLS, the Office of Museum Services was established to encourage and assist museums in modernizing their methods and facilities so that they may be better able to conserve our cultural, historic, and scientific heritage; and to ease the financial burden borne by museums as a result of their increasing use by the public. The Office of Library Services was established to consolidate Federal library programs, to stimulate excellence and promote access to resources in all types of libraries for individuals of all ages, to promote library services that provide access to information through electronic networks, to provide linkages among and between libraries and to promote targeted library services to people of diverse backgrounds and abilities.

IMLS provides support to all types of libraries through grants to States and through discretionary programs. IMLS is the only Federal agency that provides general operating support for museums of all disciplines. For many museums, IMLS is the only source of Federal support. The National Museum Services Board, a Presidentially-appointed body of fifteen voting members advises the Director on program policies for the Office of Museum Services. The National Commission on Libraries and Information Science, a Presidentially-appointed body of fifteen voting members advises the Director on program policies for the Office of Library Services.

For more information call or write: Institute of Museum and Library Services 1100 Pennsylvania Avenue, NW Washington, DC 20506 (202) 606-8536

E-mail: imlsinfo@imls.gov Web site: http://www.imls.gov/

TTY (for hearing-impaired people): (202) 606-8636

Visually or learning disabled people may obtain assistance in acquiring a cassette recording of this or any other IMLS grant information and guidelines booklet by contacting IMLS.

#### Burden Estimate and Request for Public Comments

Public reporting burden for this collection of information is estimated to average forty hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Institute of Museum and Library Services, 1100 Pennsylvania Avenue, NW, Room 510, Washington, DC 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3137-0001), Washington, DC 20503.

### National Leadership Grants CALL FOR REVIEWERS

All National Leadership Grants are awarded through a review process. The Institute of Museum and Library Services is seeking qualified library and information science and museum professionals to evaluate proposals for National Leadership Grants (NLG). Reviewers must be available to review approximately six proposals during a four-week period.

On the following pages are application forms for potential reviewers. One form is for library and information science professionals and one is for museum professionals. To apply, please complete the appropriate form and return it with a current resume to:

Institute of Museum and Library Services NLG Reviewers for Libraries 1100 Pennsylvania Avenue, NW Room 802 Washington, DC 20506

-OR-

Institute of Museum and Library Services NLG Reviewers for Museums 1100 Pennsylvania Avenue, NW Room 609 Washington, DC 20506

For more information, call the Office of Library Services at (202) 606-5227 or the Office of Museum Services at (202) 606-8539. For TTY (hearing-impaired), call (202) 606-8636.

### Institute of Museum and Library Services

### LIBRARY AND INFORMATION SCIENCE PROFESSIONALS

### REVIEWER APPLICATION FORM

Please fill out the contact information and experience portion of the application. Check the box next to the program for which you wish to review. You may apply for as many as you are interested in and qualified for.

### **Contact/Experience Information** Title: \_\_\_\_\_ Institution:\_\_\_\_ Social Security Number: \_\_\_\_\_ Mailing Address: **Shipping Address:** Work Phone: \_\_\_\_\_ Home Phone: E-Mail Address: Fax Number: (Indicate [W] or [H]) (Indicate [W] or [H]) Highest Academic Degree: Field of Study: Years of professional experience in library/information science: Years of teaching experience in library/information science: Types of experience in the past five years: (Please check all that apply) $\square$ Administration $\square$ Education $\square$ Preservation $\square$ Automation $\square$ Digitization $\square$ Description $\square$ Reference $\square$ Research $\square$ Exhibits $\square$ Other, such as work with associations, networks, consortia (please describe)

□ NATIONAL LEAD	ERSHIP GRANTS FOR LIBRARIES:
Reviewers for this program nformation science: <i>Edu</i>	m should have expertise in one or more of the following areas of library and cation and Training in library and information science; Research and library and information science; or Digitization or Preservation projects to
□ NATIONAL LEADI This program supports in to expand their service to used or education is enha	ERSHIP GRANTS FOR LIBRARY AND MUSEUM COLLABORATIONS: inovative projects that model how museums and libraries can work together the public – with emphasis on how the community is served, technology is inced. Reviewers for this program should have an interest in museum-library vice to the community, in particular, the use of technology and/or
Years of professional mus	eum experience (if any):
Please return the compl Institute of Museum and NLG Reviewers for Libra 1100 Pennsylvania Avenu Room 802 Washington, DC 20506	aries ae, NW
0 0 1	ns, please call the IMLS Office of Library Services at (202) 606-5227. ired: (202) 606-8536). Or email us at imlsinfo@imls.gov.

### INSTITUTE OF MUSEUM AND LIBRARY SERVICES

### **MUSEUM PROFESSIONALS**

### REVIEWER APPLICATION FORM

Please fill out the contact information and experience portion of the application. Check the box next to the program for which you wish to review. You may apply for as many as you are interested in and qualified for.

### **Contact/Experience Information** Name: \_\_\_\_\_ Title: \_\_\_\_\_ Institution: Social Security Number: \_\_\_\_\_ Mailing Address: Shipping Address: Work Phone: Home Phone: Fax Number: \_\_\_ E-Mail Address: \_\_ (Indicate [W] or [H]) (Indicate [W] or [H]) Highest Academic Degree: \_\_\_\_\_ Field of Study: Years of professional museum experience: Years of museum professional organization experience: Years of professional experience in community organizations: Types of experience in the past five years: (Please check all that apply) □ Administration □ Education □ Exhibition □ Automation □ Digitization □ Curatorial □ Description □ Collections mgt. & care □ Reference □ Research □ Other, such as work with associations, networks, consortia (please describe)

	NATIONAL LEADERSHIP GRANTS FOR MUSEUMS: Reviewers for this program should have expertise in one or more of the following areas of museum work: <i>Museums On-Line</i> supports model projects that address the challenges of digitization of museum collections and/or demonstrate the educational impact of connecting museums and their communities through technology; <i>Museums in the Community</i> supports projects that cultivate interaction among museums and community organizations by providing the support needed to assist these relationships; or <i>Professional Practices</i> supports projects to assist museums to improve their ability to serve the public.
	NATIONAL LEADERSHIP GRANTS FOR LIBRARY AND MUSEUM COLLABORATIONS: Library and Museum Collaborations support innovative projects that model how museums and libraries can work together to expand their service to the public – with emphasis on how the community is served, technology is used or education is enhanced. Reviewers for this program should have an interest in museum-library partnerships and their service to the community, in particular, the use of technology and/or educational enhancement.
Yea	rs of professional experience in library and information science (if any):
Wa <i>If y</i>	om 609 shington, DC 20506 ou have any questions, please call the IMLS Office of Museum Services at (202) 606-8539. TY for hearing impaired: (202) 606-8536). Or email us at imlsinfo@imls.gov.



INSTITUTE

of MUSEUM

and LIBRARY

SERVICES

### Dear Colleague:

I am very pleased to present these guidelines for the National Leadership Grant competition for libraries and museums. By combining National Leadership Grant guidelines for both museums and libraries into a single publication, IMLS reinforces its commitment to exploring and supporting the individual challenges facing libraries and museums as well as energizing the natural synergy between the two. The guidelines encourage projects of national importance to enhance the quality of museums and libraries across America. They also support partnerships between libraries and museums, strengthening both institutions through meaningful collaboration.

IMLS has created the category of National Leadership Grants to fund innovative approaches to the most significant issues facing museums and libraries today. In the library field, these issues include education and training in library and information science, research and demonstration efforts to improve library services and increase access to information resources, preservation of unique library resources and the preservation and archiving of digital media. For museums, issues include building community, establishing electronic networks, preparing digital content, and sustaining museums of all sizes through professional training and technical support. Funded projects will have far-reaching impact, creating workable models with potential for adaptation within multiple settings.

National Leadership Grants are also primary catalysts in establishing museum and library partnerships, increasing public access and serving diverse publics. Museums and libraries strengthen community life and offer core educational services for all ages. Through collaboration, museums and libraries are creating new approaches to expanding their services and providing essential resources for lifelong learning. In this category, IMLS continues to seek projects that support the changing nature of learning in the 21st century.

We at IMLS are excited about the challenges and opportunities that arise from the merger of libraries and museums. We consider National Leadership Grants among the best incentives we have for encouraging the creative ideas of library and museum professionals across the country.

Sincerely,

Severly Sheppard

Beverly Sheppard

Acting Director

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GUIDELINES

### The Opportunity: To Provide Model Projects to Improve Library and Museum Services and Enhance Cooperation between Libraries and Museums

National Leadership Grants provide an opportunity for libraries to address pressing needs in education, research, preservation, and information access and for museums to provide innovative educational programming, new public services, and use new technologies in creative ways. They also enable libraries and museums to work together to expand access to new audiences, respond collaboratively to community needs and implement the most efficient and appropriate technologies.

IMLS recognizes the work in which libraries and museums have been engaged over the years and seeks to extend that work through its programs. Both libraries and museums are public service institutions dedicated to enriching the educational, social, and cultural lives of the nation's people. Both types of institutions hold rich resources of our shared scientific and cultural heritage. The current opportunities for libraries, and for libraries working cooperatively with museums, to enrich their contributions to the public are stronger than ever before. IMLS hopes that National Leadership Grants will serve as the catalyst for promoting these opportunities.

Successful proposals will reflect an understanding of current issues and needs related to library or museum services or to the interaction of library and museum services. Projects will provide creative solutions to problems of national importance and will develop models for other organizations to emulate in order to extend the benefit of Federal support.

To ensure that funding will result in demonstrable and significant benefits to the public, IMLS has established a set of priorities for funding. Funding priorities are listed under each program description.

IMLS advocates efforts in all funding categories to prepare libraries and museums to meet the changing needs of learners in the 21<sup>st</sup> century. Examples of potential projects in this area include applications of learning theory, educational uses of digital images, and the teaching of critical thinking skills.

All proposals submitted under any of the categories will be considered on their merit; however, projects that address the stated priorities will be given preference for funding. Neither types of projects nor funding priorities are listed in order of importance.

### Eligibility

### GENERAL INFORMATION

Eligibility requirements differ for each National Leadership Grants program. Accordingly, applicants should refer to the separate Eligibility Criteria for National Leadership Grants for Libraries, for National Leadership Grants for Museums and for National Leadership Grants for Library and Museum Collaborations.

IMLS recognizes the potential for valuable contributions to the overall goals of National Leadership Grants by public, non-profit, and for-profit entities that do not meet the eligibility requirements below. Although such entities may not serve as the official applicants, they are encouraged to participate in projects as partners. Federally-operated libraries and museums may not apply for National Leadership Grants, but may serve as partners to applicants if they do not receive Federal grant funds as a result of the project. Other entities may serve as partners and may receive Federal grant funds as a result of the project.

#### PARTNERSHIPS

An application for a National Leadership Grant project may include one or more partners. Library and Museum Collaborations *require* a partnership between at least one eligible library applicant and at least one eligible museum applicant. Museums in the Community applications *require* a partnership between at least one eligible museum or museum organization applicant and one community organization. The lead applicant in a partnership must be eligible to apply as an individual organization and all members of a partnership should be active contributors to and beneficiaries of project activities. IMLS discourages partnership projects whose sole purpose is institutional planning.

The members of the partnership shall either designate one member of the partnership to apply for the grant or establish a separate, eligible legal entity, consisting of the partnership members, to apply for the grant. Any group application must contain a signed Partnership Statement that details the activities that each member of the partnership plans to perform and binds each member of the partnership to every statement and all assurances made by the applicant in the application. The applicant shall submit the Partnership Statement with its application. A sample Partnership Statement is on page 3.11.

If IMLS makes a grant to a partnership, the lead applicant for the partnership is the grantee and is legally responsible for the use of all grant funds and ensuring that the project is carried out by the partnership in accordance with applicable Federal laws, regulations and requirements. Each member of the partnership is legally responsible for carrying out the activities it agrees to perform and using the funds it receives in accordance with applicable Federal laws, regulations, and requirements.

A parent organization controlling multiple museums or libraries which are not autonomous but which are otherwise eligible may submit applications on behalf of one or more of the eligible institutions. Two organizations under the same administrative authority and operational control, however, may not serve as the sole partner applicants.

ELIGIBILITY CRITERIA **FOR** NATIONAL LEADERSHIP GRANTS FOR LIBRARIES

ELIGIBILITY

CRITERIA

FOR

Non-Federal libraries in the U.S. are eligible for funding. Eligible libraries include: public, school, academic, archives, and private (non-profit).

- A special library is eligible if it is recognized as such by the state in which it is located.
- Research libraries (which make publicly available library services and materials suitable for scholarly research that are not otherwise available to the public and which are not an integral part of an institution of higher education) are eligible to apply.
- Institutions of higher education, including public and non-profit universities and colleges, may apply. Graduate library and information science schools may apply as part of an institution of higher education.
- A library agency that is an official agency of a state or other unit of government other than Federal and charged by the law governing it with the extension and development of public library services within its jurisdiction is eligible to apply.
- A library consortium is eligible if it is a local, statewide, regional, interstate, or international cooperative association of library entities that provides for the systematic and effective coordination of the resources of school, public, academic, and special libraries and information centers for improved services for the clientele of such library entities.
- A library association is eligible if it meets all of the following criteria: (1) is organized as a public or private non-profit organization or association that exists on a permanent basis; (2) serves libraries or library professionals at the national, regional, state or local levels; (3) engages in activities designed to advance the well being of libraries and the library profession; and (4) is located in one of the fifty States of the Union, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau.

Eligible libraries or institutions may apply individually or in a partnership. A parent organization (e.g., a school district) may apply on behalf of eligible libraries within its jurisdiction.

Museums may apply only in partnership with an eligible library applicant, with the library applicant as the lead.

Non-Federal museums and museum associations in the U.S., both large and small, are eligible for funding. Eligible museums include: aquariums, arboretums, art museums, botanical gardens, children's/youth museums, general museums (with two or more significant disciplines), history museums, historic houses/sites, natural history museums, nature centers, planetariums, science/technology centers, specialized museums (limited to a single, distinct subject) and zoological parks.

NATIONAL LEADERSHIP GRANTS FOR MUSEUMS

A museum is eligible if it meets all of the following criteria: (1) is organized as a public or private non-profit institution that exists on a permanent basis for essentially educational or aesthetic purposes; (2) cares for, and owns or uses tangible objects, whether animate or inanimate, and exhibits these objects on a regular basis through facilities which it owns or operates; (3) has at least one professional staff member or

the full-time equivalent, whether paid or unpaid, whose primary responsibility is the acquisition, care or exhibition to the public of objects owned or used by the museum; (4) is open and providing museum services to the general public (an institution which exhibits objects to the general public for at least 120 days a year fulfills this requirement); and (5) is located in one of the fifty states of the Union, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau.

Museums located within multipurpose public or private non-profit organizations such as municipalities, universities, historical societies, foundations, and cultural centers may apply for National Leadership Grants for Museums. To be eligible, a museum located within a multipurpose organization must function as a discrete unit within its parent organization. In addition, the museum must meet all of the following criteria: (1) have at least one full-time professional staff member, or the equivalent, paid or unpaid, whose responsibilities are solely for the museum's services and operations; (2) have a fully segregated and itemized operating budget within that of its parent organization; and (3) be able to separately and distinctly fulfill all National Leadership Grants for Museums eligibility and application requirements.

Support, auxiliary, or parent organizations that apply on behalf of museums that they own or operate or with which they are affiliated are not eligible to apply for NLG museum funds on their own behalf.

Museum associations or organizations that serve museums or museum professionals at the national, regional, state or local level by engaging in activities designed to advance the well being of museums and the museum profession are eligible to apply. An eligible museum organization or association must be organized as a public or private non-profit organization or association that exists on a permanent basis and is located in one of the fifty states of the Union, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau.

Libraries may apply only in partnership with an eligible museum applicant, with the museum applicant as the lead.

Applicants must include at least one eligible library applicant (one of the entities listed under Eligible Criteria for National Leadership Grants for Libraries) and at least one eligible museum applicant (one of the entities listed under Eligible Criteria for National Leadership Grants for Museums). Either applicant may be the lead.

Two or more libraries or museums under the control of one parent multipurpose organization may apply for a partnership grant so long as each applicant library or museum has independent administrative authority and a separately developed operating budget within the larger budget of the parent organization. For example, a library and a museum both owned and operated by a city government, but having

ELIGIBILITY
CRITERIA
FOR
NATIONAL
LEADERSHIP
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LIBRARY AND
MUSEUM
COLLABORATIONS

separate facilities, separate staffs and autonomous operation would be eligible to apply as a partnership. However, neither a library that had an exhibition function as part of its internal operations, or a museum with a library function would constitute a partnership.

All partners must sign Partnership Statements (they do not need to all sign the same document). Refer to Partnership Statement, page 3.11. In addition, they must comply with the Partnership requirements listed above.

### **Application Review and Evaluation**

IMLS staff determines whether an applicant is eligible and whether an application is complete. IMLS staff may contact applicants for information needed to make an eligibility determination. If an applicant is determined to be ineligible as an official applicant, the application will be rejected without evaluation. Incomplete applications are subject to rejection without evaluation. Applicants will be notified by mail if they are rejected.

Institutions wishing to submit multiple proposals may apply in more than one category per deadline, although IMLS will ordinarily not award more than one grant to the same institution in any one category. The same proposal may not be submitted to more than one category or program. An institution may apply as a lead applicant in one category and serve as a partner on other applications without jeopardizing their chances of funding.

All eligible and complete applications will be competitively reviewed. All eligible applications for National Leadership Grants will be evaluated by individual field review and/or panel review. Reviewers will have expertise in the types of activities and types of organizations identified in the proposed projects. Reviewers will be drawn from professionals in the field and from the areas of expertise required. Library and museum professionals will review applications for the Library and Museum Collaborations program. The Director will make funding decisions based on the evaluations by reviewers, the stated priorities for funding and the overall goals of the National Leadership Grants program and of IMLS.

Reviewers will be instructed to evaluate the proposed projects according to the criteria identified in these guidelines. Applicants should address all criteria in the Application Narrative.

Examples of funded projects can be found on the IMLS web site at http://www.imls.gov/guidelines/nlgprojectlinks.htm.

### **Evaluation Criteria**

All eligible projects will be evaluated on the basis of the following criteria:

NATIONAL IMPACT

Degree to which the project reflects an understanding of current issues related to library, museum, or library and museum services, creatively addresses issues of national concern, and provides models for other organizations to emulate. Degree to which the project is likely to have a far-reaching impact through results or products that will benefit multiple institutions and constituencies.

### ADAPTABILITY

Evidence that the project will create, implement and document workable models that have the potential for successful, wide-scale adaptation or will produce generalizable results. Degree to which project outcomes have potential applications in other settings.

DESIGN

Extent to which the project proposes efficient, effective, and successful approaches to accomplish clear goals and objectives. Extent to which the project is of sufficient scope to effect systemic change within organizations and across organizations. Extent to which the proposal explains the context of the proposed project: what relevant work has been done (including citations as appropriate) and what the proposed project will contribute.

MANAGEMENT PLAN Evidence that the project activities will be effectively completed, that the applicant is capable of carrying out the project to its successful conclusion through the deployment and management of resources including money, personnel, facilities, equipment, and supplies, and that financial management will be sound.

BUDGET

Appropriateness and cost efficiency of budget to complete project activities.

**PERSONNEL** 

Evidence that the project personnel are qualified to accomplish project goals and activities. Extent to which personnel demonstrate appropriate experience and expertise in the specific area the project addresses and extent to which personnel commit adequate time to manage and implement the project activities.

**EVALUATION** 

Use of an assessment method that will describe clear and measurable project outcomes, findings, or products (depending on project goals). Evidence that evaluation will provide reliable information on which to judge impact or base actions. IMLS encourages outcome-based evaluation whenever it is appropriate for the type of project proposed. IMLS can provide information about outcome-based measurement on request.

DISSEMINATION

Extent to which the results, products or benefits will be accessible through effective communication channels so that the results of the project will continue beyond the term of the project period. Dissemination plans should include a variety of appropriate media and should be understandable to a broad and diverse audience. Projects are encouraged to establish web sites to report project progress and results.

**CONTRIBUTIONS** 

Demonstration of commitment to the project by contributions to cost sharing from the applicant organization, from any partners and from other public or private sources. Applicants are generally expected to share the costs of projects. See information under Cost Sharing, page 1.16.

**SUSTAINABILITY** 

Extent to which the project's benefits will continue beyond the grant period, either through ongoing institutional support of project activities or products or through broad access to project findings.

### **Projects Using Technology**

Projects using hardware and/or software as a significant aspect of the project will also be evaluated by the following additional criteria:

TECHNICAL KNOWLEDGE Extent to which the application exhibits knowledge of best practices in the technical area to which the project relates. Degree to which the project will employ the most promising, innovative or appropriate technologies, including appropriate testing and quality control. Evidence of a commitment to the sharing of technical knowledge gained in the conduct of the project.

INFORMATION ACCESS Degree to which the applicant plans to communicate the increased availability of electronic access to specific audiences and the general public. Evidence that the applicant will use and maintain the advanced electronic access developed as part of the project after the expiration of Federal support and the potential for continued support of the project after Federal funding ends.

### **Instructions for Projects Involving Digitization**

Projects involving digitization of materials, regardless of the category in which they are submitted, should discuss the following:

- material to be digitized, including the number of items, if possible, or some other indication of volume; subject matter, including relationships to related collections; and how the material was or will be selected;
- 2) likely uses of and demand for the materials in digital form (existing or potential audiences);
- 3) equipment to be used (whether purchased, leased or outsourced);
- 4) copyright issues or other potential restrictions and how they have been or will be addressed;
- 5) technical standards to be used for: each type of file format to be produced (master, access, and thumbnail, as appropriate, and rationale for each); image quality (resolution, depth, tone, and pixel array of camera or pixel dimensions of scanner); content descriptions (access aids, including descriptive metadata); system management and accessibility (structural and administrative metadata); and quality assurance;
- 6) plans for submitting any collection-level descriptive records to bibliographic networks such as RLIN (Research Libraries Information Network) or OCLC (Online Computer Library Center) and for using EAD (Encoded Archival Description) as the descriptive format for archival finding aids, or the reasons for selecting any alternative approaches;\*
- 7) estimated cost per image (include, for example, estimated costs of scanning, quality control and indexing; and the basis for calculation)
- plans for preservation and maintenance of the digital files (storage systems, migration plans and funding).

\*The Society of American Archivists has adopted EAD as the descriptive standard for archival finding aids.

Applicants for digitization projects can find useful technical information on the web sites of the Library of Congress' American Memory Project (http://memory.loc.gov/ammem/ftpfiles.html), and its Ameritech Competition Lessons Learned (http://lcweb2.loc.gov/ammem/award/lessons/lessons.html), as well as the National Archives and Records Administration's Electronic Access Project (http://www.nara.gov/nara/vision/eap/eapspec.html). Other resources include the Digital Library Federation's publications (http://www.clir.org/diglib/dlfpub.htm) and the Research Libraries Group's DigiNews (http://www.rlg.org/preserv/diginews/). IMLS does not prescribe a particular framework or approach, but the proposal should reflect an awareness of the technical considerations involved and provide a rationale for the approach selected. Examples of funded digitization projects can be found on the IMLS web site at http://www.imls.gov/guidelines/nlgprojectlinks.htm.

### **National Leadership Grants for Libraries Program**

**Deadline:** February 1

**Amount of Grant:** \$15,000-\$500,000

**Grant Period:** Up to Two Years

**Matching Requirement:** 1:1 for requests over \$250,000, except research projects.

(see section on Cost Sharing, page 1.16) Cost sharing of at least 1/3 encouraged for requests under \$250,000 and for research projects. Demonstration projects subject to

non-research matching provisions.

**Eligibility:** See page 1.4

**Program Contacts:** Jeanne McConnell

(Education and Training)

(202) 606-5389, jmcconnell@imls.gov

Martha Crawley

(Research and Demonstration, Preservation or Digitization)

(202) 606-5227, mcrawley@imls.gov

#### PROGRAM OVERVIEW

The Institute of Museum and Library Services awards National Leadership Grants for Libraries to enhance the quality of library services nationwide. National Leadership Grants are intended to produce results useful for the broader library community. Proposals will be judged on their potential for national impact – that is, the degree to which they creatively address issues of national concern and provide models for other organizations to emulate (see Evaluation Criteria, pages 1.7–1.9). They are not intended to support basic library needs, such as conversion of card catalogs to digital form or general processing of library materials.

### CATEGORIES OF FUNDING

EDUCATION AND TRAINING Supports training and education in library and information science, including traineeships, institutes, graduate fellowships and other programs. Education and training proposals should address recruitment and retention issues as well as intended learning outcomes.

#### PRIORITIES:

- Projects to attract individuals from diverse cultural backgrounds to the field of librarianship and information science; or
- Projects that implement innovative approaches to education and training and enhance the availability of professional librarians with advanced skills and specializations; or
- Projects that train librarians to enhance people's ability to use information effectively.

### R E S E A R C H A N D DEMONSTRATION

Encourages strong proposals for research in library science and for demonstration projects to test potential solutions to problems in real-world situations. Projects relating to either education and training or preservation or digitization of library materials may be submitted in this category if they are structured in accordance with the requirements for research and demonstration projects.

For the purposes of these guidelines, the term *research* means both basic and applied research, including the development and testing of more than one potential solution to a problem through an investigative methodology. Research proposals should pose a question and explain through the plan of work how the question will be investigated, how data will be gathered and analyzed, and how results will be evaluated and disseminated. The term *demonstration* means the implementation of one potential solution to a problem in a real-world environment, including evaluation of its effectiveness and dissemination of results. For Cost Sharing requirements for research and demonstration projects, refer to the section on Cost Sharing under Conditions of a Grant, page 1.16.

#### PRIORITIES:

- Projects that conduct research and/or demonstrations to enhance library services through the effective and efficient use of new and appropriate technologies; or
- Projects that conduct research and/or demonstrations to enhance the ability of library users to make more effective use of information resources; or
- Projects that conduct research and/or demonstrations which will assist in the evaluation of library services, including economic implications of services and other contributions to a community.

PRESERVATION
OR
DIGITIZATION
OF LIBRARY
MATERIALS

Helps preserve and/or digitize library resources. Applicants should describe the significance of the materials proposed for preservation or digitization and, if applicable, any innovative approaches. See additional requirements for digitization projects under Instructions for Projects Involving Digitization, pages 1.9–1.10.

#### PRIORITIES:

- Projects that address the challenges of preserving and archiving digital media; or
- Projects that lead to the development of standards, techniques, or models related to the digitization and management of digital collections; or
- Projects that preserve and enhance access to unique library resources useful to the broader community.

### **National Leadership Grants for Museums Program**

#### **Deadlines:**

Category 1 (Museums On-Line) March 1 Category 2 (Museums in the Community) March 1 Category 3 (Professional Practices) March 1

**Amount of Grant:** \$15,000-\$500,000

**Grant Period:** Up to Two Years

**Matching Requirement:** 1:1 for requests over \$250,000.

Cost sharing of at least 1/3 encouraged for requests under

\$250,000.

**Eligibility:** See pages 1.4–1.5

**Program Contacts:** Mary Estelle Kennelly

(Museums On-Line)

(202) 606-8547, mekennelly@imls.gov

Beth Ann Schmitt

(Museums in the Community) (202) 606-4645, bschmitt@imls.gov

Christine Henry (Professional Practices)

(202) 606-8687, chenry@imls.gov

#### PROGRAM OVERVIEW

National Leadership Grants for Museums will replace and expand upon the Museum Leadership Initiatives and Professional Services Program. The new museum priorities of the National Leadership Grants will encourage: innovation in providing public service and meeting community needs; widespread and creative use of new technologies; model projects to be replicated throughout the field; greater public access to museum collections; and an extended impact of federal dollars through collaborative projects.

#### CATEGORIES OF FUNDING

Addresses the technological needs and issues of museums. This is the first Federal program designed to specifically make technology resources available to all types of museums. Support is given for model projects that address the challenges of

digitization of museum collections and/or demonstrate the educational impact of connecting museums and their communities through technology. With this support museums will share the ideas and information in thousands of museum collections with classrooms, community centers and homes across America.

No priorities are established for this category in 2000.

### MUSEUMS IN THE COMMUNITY

Supports projects that cultivate interaction among museums and community organizations by providing the support needed to assist these relationships. Projects should strengthen museum services to youth, family and adult audiences and should emerge from the mission statements and long-term institutional goals that are realistic and achievable. All members of the partnership should contribute to the project activities.

#### PRIORITIES:

- Projects that develop or implement innovative after-school programs with schools and/or other community organizations; or
- Projects that develop long term relationships between museums and community organizations with an emphasis on how the project meets the documented needs of the community.

### PROFESSIONAL PRACTICES

Supports projects to assist museums to improve their ability to serve the public. This includes projects to develop and implement training; publications; projects to collect, assess or develop information which will lead to better museum operations and projects to identify or develop innovative or more effective methods of museum operation. Project design could include direct dissemination of information through workshops, seminars, and courses or indirect communication through publications and web sites.

#### PRIORITIES:

- Projects that develop, document, and disseminate model programs of partnership between museum associations and museums; or
- Projects that serve the training needs of small museums (defined as museums having an annual operating budget under \$250,000). Sequential and/or multiple training components are encouraged. Also encouraged are plans which involve multiple sites within the service area to increase accessibility for staff of small museums.

# National Leadership Grants for Library and Museum Collaborations Program

**Deadline:** April 1

**Amount of Grant:** \$15,000-\$500,000

**Grant Period:** Up to Two Years

**Matching Requirement:** 1:1 for requests over \$250,000.

Cost sharing of at least 1/3 encouraged for requests under

\$250,000.

**Eligibility:** See pages 1.5–1.6

**Program Contact:** Jeanne McConnell

(202) 606-5389, jmcconnell@imls.gov

#### PROGRAM OVERVIEW

LIBRARY AND MUSEUM COLLABORATIONS Support innovative projects that model how museums and libraries can work together to expand their service to the public – with emphasis on how technology is used, education is enhanced, or the community is served. This category requires collaboration between at least one eligible library applicant and at least one eligible museum applicant (see Eligibility Criteria and Partnership requirements, pages 1.3–1.6). All participants should be active contributors to and beneficiaries of project activities. Projects whose sole purpose is institutional planning are discouraged.

#### PRIORITIES:

- Projects to help museums and libraries take a leadership role in the education of lifelong learners in the 21st century; or
- Projects that develop, document and disseminate model programs of cooperation between libraries and museums, with emphasis on how technology is used, education is enhanced, or the community is served.

### **Conditions of a Grant**

DURATION OF A GRANT Project activities supported by National Leadership Grants may be carried out for a period of up to 24 months from the project start date.

PROJECT START DATE Project start dates vary by category. Projects may begin no earlier than the last day of the month of the award announcement, and no later than December 31, 2000.

AMOUNT OF GRANT

National Leadership Grants will range from \$15,000 to \$500,000. IMLS will review and negotiate budgets as necessary. Applicants may be granted an amount less than that requested.

C O S T S H A R I N G Applicants are generally expected to share the costs of projects. Cost sharing will be considered as an element in the review of all applications. Proposals that demonstrate strong institutional support through cost sharing are generally rated more favorably by reviewers. IMLS prefers that applicants provide at least 50 percent of the cost of any equipment to be purchased for the project. IMLS encourages applicants to contribute as cost sharing the salaries of any permanent staff to be employed on a project in proportion to the amount of time they will spend on the project. If IMLS funding is requested for salaries of permanent staff, the proposal should explain how their regular duties will be performed during the grant period. IMLS strongly encourages applicants to seek third-party donations of cash, equipment and services. All listed expenses, including all cost sharing, must be incurred during the grant period. Government-wide uniform administrative rules and requirements apply.

Applicants for all types of projects who request less than \$250,000 from IMLS are encouraged to provide at least one-third of the total cost of the project from non-Federal sources. Applicants who request more than \$250,000 from IMLS, for all types of projects other than research projects under the National Leadership Grants for Libraries program, *must* provide at least one-half of the total cost of the project from non-Federal sources.

Because research in library and information science benefits the entire community more than a single institution, IMLS does not require a one-to-one match for research proposals requesting over \$250,000. Applicants for research grants are, however, encouraged to provide at least one-third of the total cost of the project from non-Federal sources. Research projects will remain subject to evaluation on contributions (see Evaluation Criteria, pages 1.7–1.9). Demonstration efforts remain subject to match requirements for requests over \$250,000. See discussion of Research and Demonstration under National Leadership Grants for Libraries, page 1.12.

USE OF

National Leadership Grants may be used for a broad range of project activities. Grant funds may not be used for construction, acquisition of collections, contributions to endowment, social activities, ceremonies, entertainment, or pre-grant costs. For library grants and for library and museum collaborations, purchase of

limited amounts of library materials are allowable if the purchase is justified as part of a larger project; however, IMLS prefers that such purchases are contributed by the applicant as cost sharing. All revenues generated with project funds during the grant period must be reported as program income and should be applied to the grant recipient's cost sharing. All listed expenses must be incurred during the grant period. Government-wide cost principles apply.

### ANNOUNCEMENT OF AWARD

No information about the status of an application will be released until all applications have been reviewed and all negotiations are concluded. IMLS will notify applicants of final decisions according to the schedule given in the section Important Dates and Contact Information, page 4.1.

PAYMENT, ACCOUNTING, AND REPORTING **PROCEDURES** 

A Federal accounting office handles the payment of National Leadership Grants. Grant recipients may request cash advances or reimbursements as needed during the project period. Payments are made electronically. IMLS requires grant recipients to maintain a restricted account for funds received during the project period. They do not need to maintain a separate bank account for NLG funds; however, they must establish and maintain a separate accounting category within an internal accounting system to show that the funds have been used for project costs only. This restricted accounting record must be adequate to satisfy normal auditing procedures. Grants are subject to the provisions of Office of Management and Budget audit requirements.

Grant recipients may be required to submit one or more interim performance reports; they are required to submit a final performance report and a final financial report. IMLS will establish reporting requirements at the time of award.

### PREPARING AND SENDING **APPLICATION**

### How to Assemble the Application Package

An application requesting National Leadership Grants support should include the following materials organized in the order listed:

- 1. Face Sheet
- 2. Abstract
- 3. Narrative
- 4. Schedule of Completion
- 5. Project Budget (Detailed, Summary and Budget Notes)
- 6. Federally Negotiated Rate for Indirect Costs, if applicable
- 7. Partnership Statement, if applicable
- 8. Applicant(s) Organizational Profile
- 9. Signed Assurances Form
- 10. Attachments

The applicant must submit one unstapled, loose-leafed original [with original signature(s) of authorizing official(s)] plus 10 copies of the entire application (1+10=11), plus two additional copies of the Face Sheet. Do not place the original or copies in binders or notebooks.

Applicants are requested to submit an electronic copy of items 1-3 on a 3.5 inch disk, formatted as a text file (txt.) or rich text file (.rtf) (formatting of the Face Sheet need not be replicated). No submitted application materials will be returned.

FACE SHEET

The Face Sheet is provided as page 3.3 in the Application Form section of this document. Use or replicate this form.

**ABSTRACT** 

An Abstract of no more than one page, single spaced (600 word maximum) containing the following elements: 1) Project title; 2) Description of project goals and major activities; and 3) Anticipated results.

NARRATIVE

A Narrative of no more than 10 single-spaced, one-sided pages should address the Evaluation Criteria listed on page 1.7–1.9. Identify where in the Narrative each criterion is discussed. Use headings, bold type, a list of references to page or section numbers, or some other means to lead reviewers to the discussion of each evaluation criterion. Do not exceed the 10 page limit. The Narrative should provide sufficient information for reviewers to evaluate all criteria.

The Narrative must conform to the space limits. Use 8.5 by 11 inch paper. Leave a margin of at least .5 inch on all sides. Do not exceed the allotted space. Use a typeface that contains no more than six lines per vertical inch. Use a typeface with standard spacing between letters and do not use a condensed typeface. It is essential that your Narrative be legible so that reviewers can easily read the information you provide. IMLS recommends that you produce the application Abstract and Narrative using a word processing system. *Handwritten applications will not be accepted.* 

### SCHEDULE COMPLETION

The applicant must provide a Schedule of Completion that shows when each major project activity will be completed and how grant funds will be expended throughout the project. The Schedule of Completion should correspond to the activities described in the Narrative. Include the projected expenditure of grant funds (direct costs, including contributions) for each activity. A Sample Schedule of Completion is provided on page 3.10. The applicant need not follow the sample format but should provide the same information, indicating milestones for completion of each major project activity and showing how grant funds are to be spent over the course of the project.

BUDGET

The proposal must include a Detailed Budget, a Summary Budget and Budget Notes that explain the elements of the Detailed Budget. The budget should include costs to be supported by IMLS funds, applicant and third party matching and cost sharing, and any costs to be supported by other Federal agencies.

Only those costs attributable to achieving specific project activities should be included in the budget. Refer to requirements for Cost Sharing and Use of Funds under Conditions of a Grant (page 1.16) in preparing the budget.

#### DETAILED BUDGET

A Detailed Budget should include cost categories identified in the sample budget layout and should identify whether support is requested from IMLS or is contributed. All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. The budget should clearly and specifically identify sources of contributions. For third-party contributions, applicants must indicate whether the contributions are assured or pending. Consultant fees should identify costs by hourly rates or daily fees. The project budget should include \$2000 per year for travel to attend IMLS-designated meetings. For partnership projects, request \$4000 per year per project for this purpose.

#### INDIRECT COSTS

Indirect costs are expenses which relate to the National Leadership Grants project but which cannot be directly tied to project activities. Examples include miscellaneous photocopying, energy costs and telephone services.

Compute your indirect costs by taking a percentage of your project's direct costs. When calculating your indirect costs, *do not* include major equipment purchases or large contracts (over \$5000) in your direct costs since these large items artificially inflate the indirect costs. Items that are included as indirect costs may not also be listed as direct costs in the project budget.

If you do not have a Federally negotiated indirect cost rate, you may claim an indirect cost rate of 20 percent (or less) of the total direct project costs. You may include indirect costs *only* as part of your match or cost share.

If you do have a Federally negotiated rate, you may apply that rate to your project budget as specified in your negotiated agreement. IMLS will pay indirect costs *only* on the part of project budget for which you are seeking IMLS funds. Indirect costs applied to the applicant or partner's share of the budget may be included *only* as part of the match or cost share.

#### SUMMARY BUDGET

The Summary Budget should clearly identify the amount requested from IMLS, the amount provided by the applicant, by any partners and from any other sources for cost sharing and matching (both cash and in-kind support).

#### **BUDGET NOTES**

The Budget Notes should explain all elements of the Detailed Budget. For example, the Budget Notes should explain the role that each person listed in the project budget will play. The Budget Notes should also provide justification for all proposed equipment, supplies, travel, services and other expenses.

IMLS encourages applicants to contribute as cost sharing the salaries of permanent staff to be employed on a project in proportion to the amount of time they will spend on the project. If IMLS funding is requested for salaries of permanent staff, the proposal should explain why funds are requested for this purpose and how the regular duties of these individuals will be performed during the grant period. The Budget Notes should explain the role of any outside consultants and third-party vendors to be employed on the project and how each was identified and selected. Costs for third-party service providers should be documented by bids or otherwise justified.

FEDERALLY NEGOTIATED RATE FOR INDIRECT COSTS (IF APPLICABLE) If you are applying a Federally negotiated rate, you must include with your application a copy of the rate-negotiation agreement. This rate must be current on the date of *award*, not the date of application. Expired rate agreements will not be considered.

PARTNERSHIP STATEMENT (IF APPLICABLE) A sample group Partnership Statement is provided on page 3.11. The Partnership Statement should confirm all conditions identified on pages 1.3–1.4 of these guidelines.

APPLICANT(S)
ORGANIZATIONAL
PROFILE

The applicant and each official partner must provide an organizational profile of no more than one page that identifies the organization's mission, service area and levels of service, placement within a parent organization (if applicable) and where within the organization the responsibility for the management of the proposed project activities would be assigned.

### SIGNED ASSURANCES FORM

Complete this section last. To be considered for a grant, the applicant's Authorizing Official must read the assurances and sign the accompanying certification statement. The Authorizing Official may be the organization's chief executive officer, an official of the organization or its parent or sponsoring organization authorized to make such commitments on behalf of the organization, or the government official responsible for oversight of the organization.

The application is not complete unless it has been signed by the Authorizing Official.

#### **ATTACHMENTS**

Resumes or vitae of no more than two pages *each* for all key personnel (both staff and consultants) must be included. Applicants should also include documents that specifically relate to the justification for the project. Such information may include needs assessments, reports from planning activities, products or evaluations from previously completed or ongoing projects of a similar nature or other documents for the evaluation of the proposal. Separately bound volumes or notebooks submitted as attachments will not be forwarded to reviewers.

### **Sending the Application to IMLS**

Mail or hand-deliver NLG applications to:

### **National Leadership Grants for Libraries**

Office of Library Services Institute of Museum and Library Services 1100 Pennsylvania Avenue, NW, Room 802 Washington, DC 20506

- OR -

### **National Leadership Grants for Museums**

Office of Museum Services Institute of Museum and Library Services 1100 Pennsylvania Avenue, NW, Room 609 Washington, DC 20506

- OR -

### **National Leadership Grants for Library and Museum Collaborations**

Office of Library Services Institute of Museum and Library Services 1100 Pennsylvania Avenue, NW, Room 802 Washington, DC 20506

MAIL DELIVERY Mailed applications must be *postmarked* no later than the application deadline. Applications that do not meet the postmark deadline will be rejected without evaluation. See deadlines under each category. IMLS recommends certified or registered mail when using the U.S. Postal Service. In the event that a deadline falls on a day U.S. Post Offices are closed, such as Sundays and Federal holidays, IMLS will accept proposals postmarked the next business day.

HAND DELIVERY IMLS accepts hand-delivered applications between 9:00 a.m. and 4:30 p.m. (Eastern Time) daily, except Saturday, Sunday, and Federal holidays. IMLS will provide a dated receipt at the time of delivery.

I M L S ACKNOWLEDGEMENT Within 15 days after the application deadline, IMLS will mail applicants an acknowledgment form with an application log number. If this form is not received, contact IMLS to make sure the application was received.

PROOF OF MAILING

IMLS may ask for proof of mailing if the postmark date on the package cannot be read. The U. S. Postal Service does not always postmark a package when it receives one. Ask to have the package dated, then verify that it is properly date stamped. IMLS will accept a legible receipt stamped by the U.S. Postal Service or a legible dated shipping label, invoice, or receipt from a commercial carrier. IMLS will not accept private metered postmarks or private mail receipts unless they contain a legible date stamped by the U. S. Postal Service. The green return receipt card does not meet the IMLS requirement for proof of mailing.

## APPLICATION FORMS

# **Face Sheet**

1. Applicant Organization			
2. Applicant Organization Mailing Address			
3. City	4. State	5. Zip Code	
6. Name and Title of Authorizing Official	7. Business Pho	one of Authorizing Official	
8. Name of Project Director/Principal Investigator   Mr.	□Ms. □Dr. 9. Business Pho	one of Project Director	
10. Fax Number of Applicant Organization	11. Email Add	ress of Project Director	
12. Institutional Web Address			
13. Sponsoring institution/parent organization, if ap ☐ check if this entity will manage funds if an aw			
14. Is the applicant organization university controlled	d? □ yes □ no		
15. Governing control of applicant $\ \square\ ^*$ (turn page for	r selections) * if 6, please sp	pecify	
16. Type of organization $\ \square\ ^*$ (turn page for selections)	select only one * if 40, ple	ase specify	
17. Employer identification number/tax ID number			
18. Type of project ☐ (turn page for selections) <i>select o</i> .	nly one		
19. Project Title			
20. Use of technology ☐ check box if application propos	ses the use of hardware and/or so	oftware as a significant aspect of the proje	ct
21.GRANT AMOUNT REQUESTED \$	<u>.00</u> 22. Amour	nt of Matching Funds \$	.00
23. Grant Period (Starting Date)/		/ (Ending Date)	
24. In the space below, include names of any organiz	zations that are official par	tners of the project.	

# Selections for Face Sheet Items 15, 16 and 18

### 15. GOVERNING CONTROL OF APPLICANT ORGANIZATION

1. State

4. Tribal Government

2. Municipal

5. Private Non-profit

3. County

6. Other

# 16. TYPE OF ORGANIZATION (MUST BE NON-PROFIT. APPLICANT MAY BE REQUIRED TO PRODUCE PROOF OF STATUS.)

If your organization is part of state, municipal, county or tribal government (you answered 1, 2, 3 or 4 on Line 15 of the Face Sheet) or if your organization is university controlled (if you circled "Yes" on Line 14 of the Face Sheet) you do not need to submit supporting documentation at this time.

If your organization is a private non-profit organization (if you answered 5 on Line 15 of the Face Sheet) you must submit a copy of the IRS letter indicating your organization's eligibility for non-profit status under the applicable provisions of the Internal Revenue Code of 1954, as amended. IMLS will not accept a letter of state sales tax exemption as proof of non-profit status.

- 01. Public library
- 02. Academic library
- 03. School library or school district applying on behalf of a school library or libraries
- 04. Research library
- 05. Special library
- 06. Private non-profit library (submit proof of non-profit status)
- 07. Archives
- 08. Museum library
- 09. Library consortium
- 10. Library association
- 11. State library agency

- 20. Museum
- 21. Museum organization
- 22. State museum agency
- 30. Institution of Higher Education
- 40. Other

### 18. TYPE OF PROJECT

# **National Leadership Grants for Libraries**

- 01. Education and Training
- 02. Research and Demonstration
- 03. Preservation or Digitization

# **National Leadership Grants for Museums**

- 20. Museums On-Line
- 21. Museums in the Community
- 22. Professional Practices

# National Leadership Grants for Library and Museum Collaborations

30. Library and Museum Collaboration

**SECTION 1: DETAILED BUDGET** 

Year 1 -	Budget Period from	/ /	to/		
Name of Applicant Organiza	ntion				
IMPORTANT! Read instru	UCTIONS ON PAGES 2.3–2.4 BE	FORE PROCEED	DING.		
(	S (PERMANENT STAF  J  J  J  J  J  J  J  J  J  J  J  J  J	IMLS		(IF APPLICABLE)	
	TOTAL SALARIES AND WAGE	S \$			
SALARIES AND WAGE NAME/TITLE  ( ( ( ( ( ( ( ( ( ( ( ( ( ( ( ( ( (	COMPUTATION )			(IF APPLICABLE)	
	)  TOTAL SALARIES AND WAGE				
		<u> </u>			
% <i>o</i> i	SALARY BASE  S S S S S S S S S S S S S S S S S S			(IF APPLICABLE)	
% 01	$\mathcal{S}_{\underline{}}$ TOTAL FRINGE BENEFIT				
CONSULTANT FEES NAME/TYPE OF CONSULTANT	RATE OF COMPENSATION NO. OF DAYS (C (DAILY OR HOURLY) HOURS) ON PROJE		APPLICANT	PARTNER(S) (IF APPLICABLE)	Total
	TOTAL CONSULTANT FEE				
TRAVEL NUMBER OF: FROM/TO PERSONS DAYS	Subsistence Transportat Costs Costs		Applicant	PARTNER(S) (IF APPLICABLE)	Total
	TOTAL TRAVEL COST	rc			

# **SECTION 1: DETAILED BUDGET CONTINUED**

Year 1

Ітем	METHOD OF COST COMPUTATION		APPLICANT	PARTNER(S) (IF APPLICABLE)	Total
TOTAL CO	DST OF MATERIAL, SUPPLIES, & EQUIPMI	 ENT \$			
SERVICES					
Ітем	Method of Cost Computation			PARTNER(S) (IF APPLICABLE)	Total
	TOTAL SERVICES CO				
OTHER					
Ітем	METHOD OF COST COMPUTATION ————————————————————————————————————	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	Total
	TOTAL OTHER CO				
	TOTAL DIRECT PROJECT CO	STS \$			
Applicant organizati ■ A. an indirect co	or B and complete C. (See section of	of modified to	tal direct costs		
	CE 1 1A			C.A.	
	of Federal Agency	Ex	xpiration Date	of Agreement	-
C. Rate base(	Amount(s)  _% of \$  _% of \$  _% of \$				

TOTAL	INDIRECT	COSTS	\$
			-

**SECTION 1: DETAILED BUDGET** 

Year 2 (if applica	ble) - Budget Period fror	n/	/ to	/	<u>′</u>
Name of Applicant Organizat	ion				
MPORTANT! Read instrue	CTIONS ON PAGES 2.3–2.4 BEFO	ORE PROCEED	DING.		
	S (PERMANENT STAFF O. METHOD OF COST COMPUTATION ) ) )	IMLS		(IF APPLICABLE)	
	TOTAL SALARIES AND WAGES	\$	<u></u>		
(	S (TEMPORARY STAFF  O. METHOD OF COST COMPUTATION ) )			(IF APPLICABLE)	
	TOTAL SALARIES AND WAGES				
FRINGE BENEFITS RATE	Salary Base	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	Total
% of	\$ \$ \$				
	TOTAL FRINGE BENEFITS	\$		<del></del>	
CONSULTANT FEES NAME/TYPE OF CONSULTANT F	RATE OF COMPENSATION NO. OF DAYS (OR (DAILY OR HOURLY) HOURS) ON PROJECT	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	Total
	TOTAL CONSULTANT FEES	\$			
RAVEL NUMBER OF: FROM/TO PERSONS DAYS	Subsistence Transportation Costs Costs	ON IMLS	Applicant	PARTNER(S) (IF APPLICABLE)	Total
	TOTAL TRAVEL COSTS	¢			

# **SECTION 1: DETAILED BUDGET CONTINUED**

Year 2

ITEM	METHOD OF COST COMPUT.		APPLICANT	PARTNER(S) (IF APPLICABLE)	Total
TOTAL CO	DST OF MATERIAL, SUPPLIES, & EQUIP	MENT \$			
ERVICES ITEM	METHOD OF COST COMPUTA	ATION IMLS	Applicant	PARTNER(S) (IF APPLICABLE)	Total
	TOTAL SERVICES C	OSTS \$			
OTHER Item	METHOD OF COST COMPUTA	ATION IMLS	Applicant	PARTNER(S) (IF APPLICABLE)	Total
	TOTAL OTHER C	OSTS \$			
	TOTAL DIRECT PROJECT O	OSTS \$			
pplicant organizati A. an indirect co	or B and complete C. (See section	% of modified to	otal direct costs		
Name o	of Federal Agency	E	xpiration Date	of Agreement	
C. Rate base(s	Amount(s)  -% of \$				

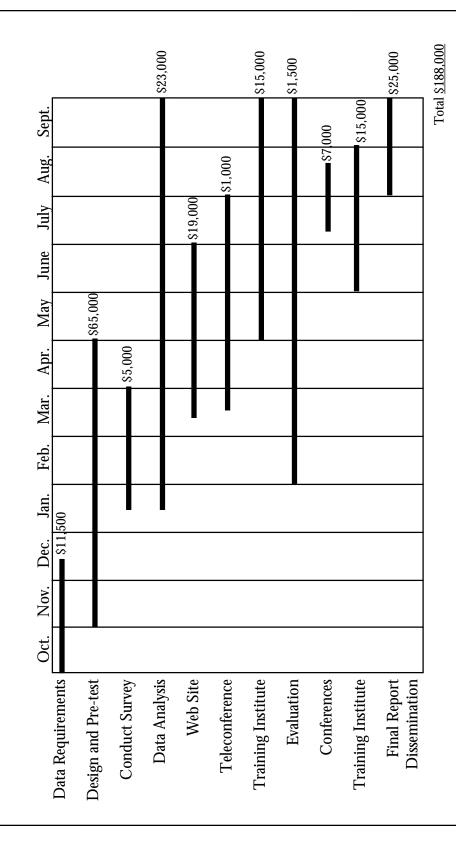
TOTAL INDIRECT COSTS \$\_

**SECTION 2: SUMMARY BUDGET** 

Name of Applicant Organization _				<del></del>
IMPORTANT! READ INSTRUCTION	IS ON PAGES 2.3–2.	4 before proceeding		
DIRECT COSTS	IMLS	Applicant	Partner(s) (if applicable)	Total
Salaries & Wages				
Fringe Benefits				
CONSULTANT FEES				
Travel				
Materials, Supplies & Equipment				
Services				
Other				
AMOUNT	\$	\$	\$	\$
INDIRECT COSTS*  *If you do not have a current Federally negotia indirect costs must appear in the Applicant or		\$TOTAL PRO	\$	\$ \$
AMOUNT OF CASH-MATCH			\$	
AMOUNT OF IN-KING CON	ITRIBUTIONS-	МАТСН	\$	
TOTAL AMOUNT OF MATCH	(CASH & IN-	KIND CONTRIBL	ITIONS)	\$
AMOUNT REQUESTED FROM	M IMLS			\$
PERCENTAGE OF TOTAL PR (MAY NOT EXCEED 50% IF REQUES				% SEE PAGE 1.16)
Have you received or requested fur (Please check one) ☐ Yes ☐ I	nds for any of these No	e project activities fro	m another Federa	l agency?
If yes, name of agency				<del></del>
Date of application or	r award	Amount requeste	d or received \$	

# Sample Schedule of Completion

with the project dates on the Face Sheet (page 3.3). Identify summary costs for each activity. The total should equal the List each major project activity discussed in the Narrative. The dates on your Schedule of Completion must correspond expenditure for each activity. You need not follow the sample format but should provide the same project information. This sample Schedule of Completion provides sample project activities, a sample timeline, and sample funds amount of funds requested from IMLS, including indirect costs.



# **Sample Partnership Statement**

This page is a sample format for a partnership application. Prepare yours in a similar manner. You may complete separate statements with each partner or add additional signature lines for multiple partners. Information about partnership application is on pages 1.3–1.6.

1. Applicant Organization:	
Other partner members (organizat	ions):
2. Briefly list the activities that each of	organization has agreed to perform:
<ul> <li>We will use any funds we rec Federal laws and regulations; a</li> </ul>	described above and in the Application Narrative; teive from IMLS in accordance with applicable
Signature of Authorizing Official	Partner Organization (Type or Print)
Name of Authorizing Official (Type or Print)	Date
Signature of Authorizing Official	Partner Organization (Type or Print)
Name of Authorizing Official (Type or Print)	Date
Signature of Authorizing Official	Partner Organization (Type or Print)
Name of Authorizing Official (Type or Print)	Date

# **Application Checklist**

Use this checklist to help you arrange the sections of the application in the correct order. Check off items included in your application package so reviewers will know what you have included with your application.

Face Sheet
Abstract
Narrative
Schedule of Completion
Project Budget: Detailed Budget, Summary Budget and Budget Notes
Federally Negotiated Rate for Indirect Costs, if applicable
Partnership Statement, if applicable
Applicant(s) Organizational Profile
Assurances/Certification of Authorizing Official
Attachments, as appropriate  ☐ Resumes of Key Personnel (no longer than two pages per person)  ☐ Report from Planning Activities  ☐ Products or Evaluations from Previously Completed or Ongoing Projects of a Similar Nature  ☐ Other
Application Checklist

# **IMLS Assurances**

The IMLS is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, non-discrimination, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Some applicants will be required to certify that they will comply with other federal statutes that pertain to their particular situation. These requirements are incorporated in the Assurances Statement below. Review the Statement and sign the certification at the end. If you receive a grant, you must comply with these requirements.

### ASSURANCES STATEMENT

By signing the application form, the authorizing official, on behalf of the applicant, assures and certifies that, should a grant be awarded, the applicant will comply with the statutes outlined below and all related IMLS regulations. These assurances are given in connection with any and all financial assistance from IMLS after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the Federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States government has the right to seek judicial enforcement of these assurances, which are binding on the applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

FINANCIAL,
ADMINISTRATIVE,
AND LEGAL
ACCOUNTABILITY

# . CERTIFICATIONS REQUIRED OF ALL APPLICANTS

The undersigned, on behalf of the applicant, certifies that the applicant has legal authority to apply for Federal assistance and the institutional, managerial, and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management, and completion of the project described in this application.

The undersigned, on behalf of the applicant, certifies that the applicant will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. § 7501 *et seq.*) and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

The undersigned, on behalf of the applicant, certifies that the applicant will comply with the provisions of OMB Circular No. A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

FEDERAL DEBT STATUS The undersigned, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any federal debt.

### DEBARMENT AND SUSPENSION

The undersigned, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant and its principals:

- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
- (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction, or in connection with a violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) have not within a three-year period preceding this application/proposal had one or more public transaction (federal, state, or local) terminated for cause or default.

### NON-DISCRIMINATION

The undersigned, on behalf of the applicant, certifies that the applicant will comply with the following nondiscrimination statutes and their implementing regulations:

- (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 *et seq.*), which prohibits discrimination on the basis of race, color, or national origin;
- (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*), which prohibits discrimination on the basis of disability;
- (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-83, 1685-86), which prohibits discrimination on the basis of sex in education programs; and
- (d) the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 et seq.), which prohibits discrimination on the basis of age.

### DRUG-FREE-WORKPLACE ACT OF 1988

- (A) The undersigned, on behalf of the applicant, certifies that the applicant will or will continue to provide a drug-free workplace by:
  - (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the action that will be taken against employees for violation of such prohibition;
  - (b) establishing an ongoing drug-free awareness program to inform employees about:
    - (1) the dangers of drug abuse in the workplace;
    - (2) the grantee's policy of maintaining a drug-free workplace;
    - (3) any available drug counseling, rehabilitation, and employee assistance programs; and
    - (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;
  - (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
  - (d) notifying the employee in the statement required by paragraph (a) that, as a

- condition of employment under the grant, the employee will
- (1) abide by the terms of the statement; and
- (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
- (e) notifying the agency in writing within ten (10) calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;
- (f) taking one of the following actions within thirty (30) days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted:
  - (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*); or
  - (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law or other appropriate agency; and
- (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
- (B) The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

The undersigned certifies, to the best of his or her knowledge and belief that:

- (a) no federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement.
- (b) if any funds other than appropriated federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan or cooperative agreement, the undersigned shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (c) the undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

CERTIFICATION
REGARDING
LOBBYING
ACTIVITIES
(APPLIES
TO
APPLICANTS
REQUESTING
FUNDS IN
EXCESS OF
\$100,000

### GENERAL CERTIFICATION

The undersigned, on behalf of the applicant, certifies that the applicant will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing the program.

### II. CERTIFICATIONS REQUIRED OF SOME APPLICANTS

The following certifications are required if applicable to the project for which an application is being submitted. Applicants should be aware that additional federal certifications, not listed below, might apply to a particular project.

### **SUBAGREEMENTS**

Applicants who plan to use awards to fund subgrants, contracts and subcontracts should be aware that they must receive the following certifications from applicants to grant programs and those who bid on contracts:

- (1) certification of compliance with the nondiscrimination statutes from institutional applicants and contractors, and
- (2) certification regarding debarment and suspension from applicants to grant programs (regardless of the amount requested) and from potential contractors and subcontractors who will receive \$100,000 or more in grant funds. Applicants are also required to include without modification the following wording in solicitations for all grant proposals and for contracts that are expect to equal or exceed \$100,000:
  - (a) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
  - (b) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NATIVE AMERICAN HUMAN REMAINS AND **ASSOCIATED FUNERARY OBJECTS** 

The undersigned, on behalf of the applicant, certifies that the applicant will comply with the provisions of the Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C. § 3001 et seq.), which applies to any organization that controls or possesses Native American human remains and associated funerary objects, and which receives federal funding, even for a purpose unrelated to the Act.

### HISTORIC **PROPERTIES**

The undersigned, on behalf of the applicant, certifies that the applicant will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470f), Executive Order (E.O.) 11593, and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. § 469 et seq.).

## **ENVIRONMENTAL PROTECTIONS**

The undersigned, on behalf of the applicant, certifies that the project will comply with environmental standards, including the following:

(a) institution of environmental quality control measures under the National Environmental Policy Act of 1969, as amended (42 U.S.C. § 4321 et seq.) and Executive Order (E.O.) 11514:

- b) notification of violating facilities pursuant to Executive Order (E.O.) 11738;
- c) protection of wetlands pursuant to Executive Order (E.O.) 11990, as amended by Executive Order (E.O.) 12608;
- d) evaluation of flood hazards in floodplains in accordance with Executive Order (E.O.) 11988, as amended.
- e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972, as amended (16 U.S.C. § 1451 *et seq.*);
- f) conformity of Federal actions to State (Clean Air) Implementation Plans under section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 *et seq.*);
- g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (42 U.S.C. § 300f *et seq.*); and
- h) protection of endangered species under the Endangered Species Act of 1973, as amended (16 U.S.C. §§ 1531–1543).

The undersigned, on behalf of the applicant, certifies that the project will comply with the Wild and Scenic Rivers Act of 1968, as amended (16 U.S.C. § 1271 *et seq.*), related to protecting components or potential components of the national wild and scenic rivers system.

The undersigned, on behalf of the applicant, certifies that the applicant will comply with the flood insurance requirements of the Flood Disaster Protection Act of 1973, as amended (42 U.S.C. § 4001 *et seq.*), which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

RESEARCH ON HUMAN AND ANIMAL SUBJECTS The undersigned, on behalf of the applicant, certifies that the project will comply with 21 C.F.R. Part 50 regarding the protection of human subjects involved in research, development and related activities supported by this award of assistance.

The undersigned, on behalf of the applicant, certifies that the project will comply with the Laboratory Animal Welfare Act of 1966, as amended (7 U.S.C. § 2131 *et seq.*) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

For further information on the certification, contact IMLS at 1100 Pennsylvania Avenue, NW, Room 802, Washington, DC 20506.

# CERTIFICATION OF AUTHORIZING OFFICIAL

(The applicant organization's authorizing official should sign the following certification after all other parts of the application form have been completed)

I have examined this application and I hereby certify on behalf of the applicant organization that

- 1) the information provided is true and correct; and
- 2) all requirements for a complete 2000 National Leadership Grants application have been fulfilled; *and*
- 3) the applicant is providing and will comply with the applicable certifications regarding federal debt status, debarment and suspension, non-discrimination, drug-free workplace, and lobbying activities, as set forth in the Assurances Statement above.

Should my organization receive a grant, the organization and I will comply with all requirements of the IMLS Grants Regulations (45 CFR 1180 *et seq.*), all statutes outlined above, and all other applicable Federal statutes and regulations.

Signature of Authorizing Official	Date
Name and Title of Authorizing Official	

# Important Dates and Contact Information for National Leadership Grants

	Application Deadline	Award Announcement	Program Officer	Phone	Email
<b>For Libraries</b> Education and Training	February 1	Mid-July	Jeanne McConnell	(202) 606-5389	jmcconnell@imls.gov
Research and Demonstration	February 1	Mid-September	Martha Crawley	(202) 606-5227	mcrawley@imls.gov
Preservation or Digitization	February 1	Mid-September	Martha Crawley	(202) 606-5227	mcrawley@imls.gov
<b>For Museums</b> Museums On-Line	March 1	Mid-September	Mary Estelle Kennelly (202) 606-8547	(202) 606-8547	mekennelly@imls.gov
Museums in the Community	March 1	Mid-July	Beth Ann Schmitt	(202) 606-4645	bschmitt@imls.gov
Professional Practices	March 1	Mid-September	Christine Henry	(202) 606-8687	chenry@imls.gov
For Libraries and Museums Library and Museum Collaboration April	useums April 1	Mid-September	Jeanne McConnell	(202) 606-5389	jmcconnell@imls.gov



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